



**King County**

# Board of Ethics

**2003 Annual Report**

**King County Code of Ethics**

*Helping Employees Make Ethical Decisions*



**King County**  
Department of  
Executive Services  
**Board of Ethics**

# King County Board of Ethics 2003 Annual Report

January 1, 2003, through December 31, 2003

## ***Members***

Lois Price Spratlen, Ph.D., Chair  
Roland H. Carlson  
Margaret T. Gordon, Ph.D.  
Rev. Paul F. Pruitt  
Jerry Saltzman

## ***Administrator***

Catherine A. Clemens

## ***Counsel***

Cheryl Carlson  
Alan Abrams

## ***King County Executive***

Ron Sims

## ***Department of Executive Services***

Paul Tanaka, County Administrative Officer



## **King County**

Board of Ethics

Bank of America Tower  
BOA-ES-3460  
701 Fifth Avenue, Suite 3460  
Seattle, WA 98104

206-296-1586  
Fax 206-205-0725  
TTY Relay: 711

[board.ethics@metrokc.gov](mailto:board.ethics@metrokc.gov)  
[www.metrokc.gov/ethics/](http://www.metrokc.gov/ethics/)

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Sue McCauley, Graphic Designer 40219sm.qxd

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# Message from the Board



## King County

### Board of Ethics

Department of Executive Services

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Seattle, WA 98104

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board.ethics@metrokc.gov  
www.metrokc.gov

May 2004

King County Executive Ron Sims  
Metropolitan King County Council Chair Larry Phillips  
Members of the Metropolitan King County Council  
Separately Elected Officials

The King County Board of Ethics 2003 Annual Report was written by our ethics administrator, Ms. Catherine Clemens. Through the collaborative efforts of our volunteer citizen board members and our administrator, we have accomplished all goals set for this year on time and within budget. When establishing our goals we gave priority to the needs of county employees and to the public's need to have trust and confidence in the activities of county government. With these values in mind we systematically directed attention to reviewing the King County Code of Ethics and to the provision of ethics education to employees.

Our administrator and our board members became aware of the need for a change in the Code of Ethics in the area of post-employment policy. Approved changes are documented and discussed in some detail in the accompanying report.

We continue to employ the ethics educational framework which we implemented in 1995. Our ethics administrator makes professional presentations on ethics at new employee orientations. She schedules meetings with unit managers and directors to provide them with the most up-to-date information about challenges that occur in the workplace related to ethics. On a daily basis she is available by phone and email to county employees and to citizens in King County. A comprehensive set of print and electronic information on the subject of ethics has been developed and can be accessed by most county employees online and by request.

Board members schedule informational sessions on ethics with County Council members on a yearly basis. Quarterly meetings related to ethics issues are scheduled with Executive Sims, members of his staff and members of our Ethics Board. We continue to receive strong support for ethics from Executive Sims.

Our collaborative work continues to make ethics a vital force for promoting and enhancing awareness of ethics among county, state, and regional organizations in this area.

It is our hope that this report will be helpful to those who read and use this information to promote the highest standards of ethics to enhance public trust in government in King County.

Sincerely,

Handwritten signature of Lois Price Spratlan in cursive script.

Lois Price Spratlan, Chair

Handwritten signature of Paul F. Pruitt in cursive script.

Paul F. Pruitt

Handwritten signature of Roland H. Carlson in cursive script.

Roland H. Carlson

Handwritten signature of Margaret T. Gordon in cursive script.

Margaret T. Gordon

Handwritten signature of Jerry Saltzman in cursive script.

Jerry Saltzman

# Report Summary

## Achievements

- Over 1,780 employees received ethics training, an increase of 71% over 2002
- The board-proposed amendment to the Code of Ethics on post-employment provisions was passed into law
- County employees and elected officials achieved 100% compliance with the financial disclosure program; board and commission members achieved 99% compliance
- The board launched a county-wide awareness campaign of the ethics code, the board and office
- The administrator issued 69 written staff informational responses and provided guidance on 297 ethics-related telephone inquiries
- All program and project goals established by the board and county for 2003 were achieved on time and within budget

## Board Activities and Outreach

- The board conducted eight public meetings in 2003 and members maintained a 78% attendance record
- The board hosted its annual reception for county leadership, former county ethics board members, and representatives from other ethics jurisdictions on June 17, 2003
- Chair Price Spratlen met with the executive on a quarterly basis, and board members met individually with County Council members in informal sessions to discuss ethics-related issues with in King County government

## Goals and Performance Measures

- **Goal I: Training and Education.** The administrator conducted ethics training to 1,780 employees with an emphasis placed on reaching new employees (867 or 49%) and supervisors (354 or 20%). The administrator expanded the ethics Web site and distributed ethics publications including the *Advisory Opinion Subject Index and Summary Guide*, *Summary of the Code of Ethics*, *Guide to Doing Business with Contractors and Vendors*, and the *2002 Annual Report*.
- **Goal II: Review of the Code of Ethics.** The board-proposed amendment to the post-employment provisions under the ethics code passed into law in July. In addition, the board finalized a proposed amendment

to provisions of the ethics code regarding declarations for statements of financial and other interests and for the consultant disclosure form, and forwarded the document to the executive. The board also reviewed code provisions related to gifts and use of county resources, but proposed no changes.

- **Goal III: Advice and Guidance.** From 1991 through 1999, the board issued 148 advisory opinions, but issued no advisory opinions in 2003. The administrator issued 69 written staff informational responses and replied to 133 ethics-related questions from employees. Issues included use of county resources and funds, conflict of interest for employees and board and commission members, post-employment and outside employment restrictions, solicitation by employees of other county employees or businesses, acceptance of gifts, and providing referrals or testimonials.
- **Goal IV: Disclosure Programs.** By working collaboratively with all county departments, the financial disclosure program achieved 100% compliance with the filing requirement of statements of financial and other interests for 1,969 elected officials, candidates and affected employees; 436 board and commission members achieved 99% compliance. In addition, 343 contractors and vendors filed disclosure statements with the ethics office.
- **Goal V: Collaboration with Other Ethics Agencies.** Under the direction of the Board of Ethics, the administrator has developed collaborative relationships locally and nationally through involvement with private and public ethics agencies and organizations. The ethics board and administrator have been active in the Council on Governmental Ethics Laws since 1993, and the administrator currently serves on its publications committee and committee to develop a model ethics law. She is also a member of the local Northwest Ethics Network, whose membership includes, among others, ethics officers from Washington State Executive Ethics Commission, Starbucks, Seattle Ethics and Elections Commission, Boeing, Weyerhaeuser, Sun Microsystems, and Microsoft, and serves as a member of the Albers Business Ethics Initiative Advisory Council for Seattle University.

# The King County Board of Ethics

## ***Mission***

**To ensure the highest standards of public service by developing, disseminating, and promoting readily understandable ethics requirements for King County employees and agencies.**

## ***Authority***

The King County Board of Ethics is authorized by King County Code 3.04, Employee Code of Ethics.

## ***The Board***

Created by ordinance in 1972, the Board of Ethics is a five-member citizen advisory, administrative, quasi-judicial board. Authorized by K.C.C. 3.04, the board may interpret the code through advisory opinions, and implement forms, processes, and procedures to ensure compliance with the ethics code. In addition to those responsibilities, the board oversees the administration of financial and consultant disclosure requirements, and increases awareness of ethics issues through an education and training program. The board also hears appeals on findings by the Office of Citizen Complaints—Ombudsman. The board is assisted by one full-time administrator in a central office and legal counsel from the prosecuting attorney's office, and serves over 13,000 employees within the legislative and executive branches of county government as well as the general public.

Two members of the board are appointed by the King County executive and two members are appointed by the executive based on nominations made by the King County Council. The fifth member, who serves as chair, is

appointed by the executive based upon nominations from the other board members. In 2003, the board maintained a full complement of five members. On January 13, 2003, the council confirmed the executive's appointment of **Rev. Paul F. Pruitt** to a second term expiring May 31, 2005. On January 23, 2003, the executive appointed **Mr. Jerry Saltzman** to a first term expiring on January 31, 2006; the council confirmed the appointment on March 17, 2003. On January 27, 2003, the council confirmed the executive's appointment of **Mr. Roland H. Carlson** to a second term expiring July 31, 2005. On June 6, 2003, ethics board members nominated **Dr. Lois Price Spratlen** for a fourth term as member and third term as chair; the executive reappointed her on July 1, 2003, to a fourth term expiring July 31, 2006, and the council confirmed the executive reappointment on July 14, 2003. **Dr. Margaret T. Gordon** serves under a current second term that expires on March 25, 2005.

The Board conducted eight public meetings in 2003 and members maintained a 78% attendance record. During the annual half-day board retreat held on Saturday, January 11, 2003, the board approved the *2002 Annual Report* and the 2003 business plan, and adopted the 2003 mission and goals.

# The King County Board of Ethics

## 2003 Goals

- Goal I:** To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.
- Goal II:** To continue a systematic review of the Code of Ethics and make appropriate recommendations for consideration by the executive and County Council.
- Goal III:** To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.
- Goal IV:** To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.
- Goal V:** To collaborate with other ethics agencies both public and private within the State of Washington and the United States and Canada for the purpose of information exchange and to consider program improvements for the King County ethics program.

## 2003 Initiatives

In addition to its primary functions, the board actively pursued new initiatives in 2003.

**2003 Awareness Campaign.** The board initiated a campaign directed to county employees to raise awareness of the ethics code, the board and office, and the resources they provide. To achieve this goal, the board employed several approaches. First, members met individually with all council members and the executive (see below) and the administrator met with all department directors, deputies, and management teams. Second, the board and administrator made progress on other awareness initiatives to be completed in 2004, which include an ethics poster to be distributed throughout the county, an Ethics Help Line card to be distributed with paychecks to all county employees, a redesign of existing and new ethics publications for a stronger agency identity, an interactive ethics game on the Web site, and a redesign of the ethics Web site to make it easier to use and to bring it into compliance with the new county-wide template under development.

**Annual Board Reception.** The board hosted its annual reception on June 17, 2003, attended by County Council members, the executive and staff, department directors, separately elected officials, former county ethics board members, and representatives from other ethics jurisdictions. Executive Ron Sims and Council Chair Cynthia Sullivan attended and gave brief remarks; Chair Price Spratlen made remarks and awarded certificates of appreciation to ethics staff and other county employees providing service to the ethics office.

**Meetings with County Leadership.** In order to create cooperative working relationships with the legislative and executive branches of government, the board established meetings with county leaders. Chair Price Spratlen met with the executive on a quarterly basis in informal sessions to discuss ethics-related issues within King County government. In addition, board members met individually with all council members for this same purpose.



## Board of Ethics Members



### ***Lois Price Spratlen, Ph.D., Chair***

**1994 – present**

Lois is chair of the King County Board of Ethics. Previous board positions include Group Health Cooperative of Puget Sound and the Metropolitan Seattle Urban League. She is past president and active member of Mary Mahoney Professional Nurses Organization. Her academic and professional affiliations include Sigma Theta Tau, the California Caucus of College and University Ombudsmen; and the Seattle chapter of the Association of Advanced Practice Psychiatric Nurses, for which she was treasurer and conference planner. She is past President of the Far West Region of the Hampton University Alumni Association.

She is professor at the School of Nursing, University Ombudsman, and Ombudsman for Sexual Harassment at the University of Washington.

Lois joined the UW faculty in Psychosocial Nursing in 1972 after receiving her MN degree from UCLA with specialization in community mental health nursing. Her BS in nursing is from Hampton University, Hampton, VA and her PhD in Urban Planning is from the University of Washington.

Lois' initial appointment as UW Ombudsman for Sexual Harassment was made in 1982. Since September 1988 she has served as the University Ombudsman as well. Lois

is the first woman on the UW campus to occupy this latter role, which was established in 1969. In 1998 Lois was named Ombuds of the Year by the California Caucus of College and University Ombuds. In 1999 Lois was inducted as a Fellow in the American Academy of Nursing.

## Board of Ethics Members



### ***Roland H. Carlson***

**1994 – present**

Roland (Ron) Carlson retired as an executive of the Boeing Company in 1994 after 34 years of service. His assignments included Defense and Space Division New Business Management and Product Line Planning, Proposal Manager on the Weapon and Basing System Support Programs, and Manager of Southwestern Technical Office in Albuquerque, New Mexico.

Ron Carlson spent 5½ years as a Research and Development Officer in the U.S. Air Force. Key assignments included structural nuclear blast and shock experiments at the Nevada Test Site. He is presently a retired Air Force Reserve officer.

His academic and professional affiliations include Tau Beta Pi, Sigma Xi, The Geophysical Union, American Society of Civil Engineers, Chi Epsilon (MSU charter member)), Phi Kappa Phi, American Association for the Advancement of Science, Boeing Management Association, Air Force Association and the American Defense Preparedness Association.

Mr. Carlson's professional activities include Registered Professional Civil Engineer in New Mexico; National Academy of Science and Defense Science Board Committees on Nuclear Hardening; consultant to NASA for geophysical experiments on the last Apollo lunar flight; member of the President's Committee for the National Medal of Science for two three-year terms; and a term as 47th District Representative in the Washington State House of Representatives.

Additional activities include Imperials Board of Directors, King County Library Board of Directors, and many years of Boy Scout work including chairing the Eagle Scout Committee.

Ron Carlson received his Bachelor of Science degree in Civil Engineering from Michigan State University. He received a Master of Science degree in Structural Engineering from the University of Illinois. He is the author/co-author of numerous professional papers and journal articles.

## Board of Ethics Members



### **Margaret T. Gordon, Ph.D.**

**1999 – present**

Margaret (Margo) Gordon is a professor at the Daniel J. Evans School of Public Affairs, University of Washington.

She joined the UW faculty in 1988 as dean and professor of the Graduate School of Public Affairs (recently renamed the Evans School). After ten years of service, she elected to become dean emeritus and rejoin the faculty full time. She is now engaged in teaching (“News Media and Public Policy,” and “Race, Ethnicity and Public Policy”) and research (“Quality Journalism in the 21st Century,” funded by the Ford Foundation and “Impacts of the Gates Library Initiative” as it seeks to bridge the “digital divide,” funded through a gift to the Evans School from the Bill and Melinda Gates Learning Foundation).

Prof. Gordon also is currently serving as the vice president for North America for the International Association of Schools and Institutes of Administration. She formerly served on the Executive Council as the past president of the National

Association of Schools of Public Affairs and Administration and as a member of the National Governing Board of Common Cause, and locally she serves on the Advisory Board of KCTS, the Washington News Council and the Washington Womens’ Forum.

Before coming to Seattle, Prof. Gordon was director of the Center for Urban Affairs and Policy Research and a faculty member at Northwestern University. She has also taught at the University of Illinois and the University of Nigeria.

She was named a charter member of the Hall of Achievement by her alma mater, Northwestern University; received an Exemplary Public Service Award in recognition of her dedication to diversity in higher education during her presidency of the Policy Board of the Public Policy and International Affairs Fellowship Program; and librarians gave their CHOICE award for best book to her co-authored work *Female Fear: The Social Costs of Rape*.

## Board of Ethics Members



### ***Rev. Paul F. Pruitt***

**1992 – present**

Paul Pruitt was born in Nebraska in 1922. The Pruitt family moved to Idaho in the Great Depression, then on to Washington in the late 1930s.

Paul's high school was in Kirkland, college at the College of Puget Sound (now UPS) in the early forties. He attended and received his Bachelor of Divinity degree at Yale Divinity School, New Haven, Connecticut. There he met and married Yale School of Nursing student Mary Margaret Dunlap. They raised four children, now grown and establishing their own families.

Paul served churches of the United Church of Christ in Anacortes, Lowell, University Place, and the High Point Community Church and Christian Center in West Seattle. The Pruitts spent three and one half years in missions with their church in the Philippines. For two years Paul was a vocational counselor at the Clover Park Vocational School. He served in the Washington State Legislature for the 34th District for eight years. He retired from a ministry at the Fauntleroy Church, United Church of Christ in West Seattle in December of 1995.



### ***Jerry Saltzman***

**2003 – present**

Jerry Saltzman has been a psychotherapist in private practice for thirty years. As part of his practice, Jerry has conducted groups and workshops on removing personal and culturally imposed barriers to open, workable human relationships.

Prior to becoming a therapist, Jerry taught philosophy at UCLA and California State University, Northridge. His areas of specialization were ethics and political philosophy. Recently he taught similar courses at Cascadia Community College in Bothell.

Outside of his professional work, Jerry devotes a good deal of his time in advocating for economic and social justice. Jerry's activities as co-chair of the African American/Jewish Coalition for Justice include writing and speaking about the issue of Reparations for African Americans and training others in this endeavor, and developing related economic and social justice programs. Jerry has also served on the Church Council Commission on Racial Justice. Jerry's other area of focus lies in mentoring and tutoring youth and teenagers, and community organizing in the New Holly housing development where he resides.

## Board Members and Staff 1983 – 2003

### ***Board Members***

Judith Woods, Ph.D.

1983 – 1992

Hubert Locke, Ph.D., Chair

1984 – 1987

J. Patrick Dobel, Ph.D., Chair

1987 – 1996

Timothy Edwards, Chair

1989 – 1996

Rev. Paul F. Pruitt

1992 – present

Lois Price Spratlen, Ph.D., Chair

1994 – present

Roland H. Carlson, Acting Chair

1994 – present

Lembhard G. Howell

1996 – 2002

Judge Paul M. Feinsod

1997 – 1999

Margaret T. Gordon, Ph.D.

1999 – present

Jerry Saltzman

2003 – present

### ***Administrators***

Margaret A. Grimaldi

1992 – 1997

Catherine A. Clemens

1997 – present



### ***Catherine A. Clemens***

**Administrator  
1997 – present**

As administrator to the Board of Ethics since 1997, Catherine Clemens provides staff support to the five-member board and is responsible for education and information on ethics-related issues to over 13,000 employees. She conducts monthly ethics orientations for new employees, in-depth training for supervisors, issue-specific discussions for general staff, and occasional forums for employees with specialized responsibilities.

Ms. Clemens manages all programs under the provisions of the Code of Ethics, including financial disclosure requirements for employees and board and commission members, and consultant disclosure requirements for consultants doing business with King County. In addition, she publishes advisory opinions, a code of ethics summary, an annual report, and

ethics-related brochures, and maintains a comprehensive Web site ([www.metrokc.gov/ethics/](http://www.metrokc.gov/ethics/)).

The administrator responds to all ethics-related inquiries from county employees and the general public, and provides written informational responses upon request.

Cheryl Carlson, Senior Deputy Prosecuting Attorney of the King County Prosecuting Attorney's Office, served as legal counsel to the board from 2002 to 2003.

Alan Abrams, Senior Deputy Prosecuting Attorney of the King County Prosecuting Attorney's Office, began serving as legal counsel to the board in 2003.

### ***Budget for Calendar Year 2003***

<b>Budget</b>	<b>\$110,731</b>
<b>Expenditures</b>	<b>\$110,176</b>
<b>Full Time Staff</b>	<b>1.0</b>

## Goal I — Education and Training

**To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.**

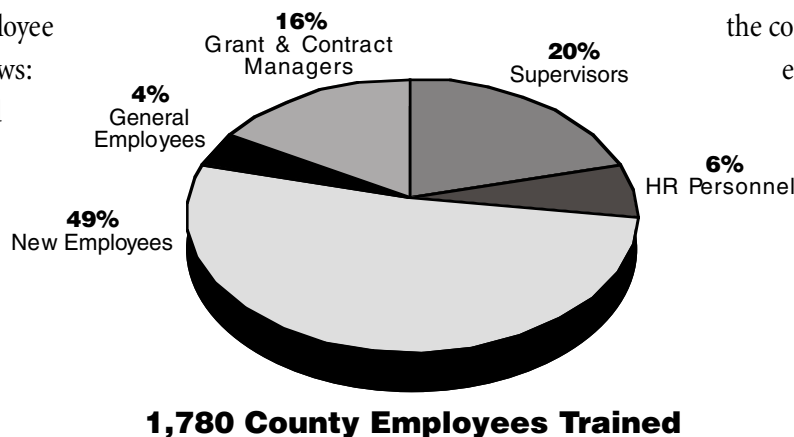
**Training and Education Overview.** Over 1,780 employees, including board and commission members, received ethics training in 2003, with an emphasis placed on reaching new employees (867 or 49%) and supervisors (354 or 20%), as well as grant and contract managers (306 or 16%), human resources personnel (100 or 6%), and general employees (72 or 4%). By focusing primarily on new employees and supervisors, the board and administrator help to ensure that new employees have an awareness of the code before beginning work, and then know who to contact for ethical guidance during their tenure, and that supervisors have the skills to identify and resolve ethics-related issues affecting their agencies, and have the opportunity to develop ethical practices so they may lead others more effectively.

The number of employees who received ethics training in 2003 increased by 742 employees, or 71%, over the previous year. The increase was due primarily to two initiatives. First, the awareness campaign included meetings between the administrator and all department directors, deputies, and management teams. Second, notification of the new post-employment provision required making presentations specific to grant and contract managers that included a focus on conflict of interest. Compared to 2002, ethics training this year to employee groups increased as follows: new employees increased by 196 or 29%, supervisors increased by 200 or 130%, grant and contract managers increased by 306 or 100%, general employees increased by 47 or 188%,

human resource personnel increased by 27 or 37%, department coordinators and board and commission staff liaisons increased by 8 or 5%, and department directors and their deputies increased by 23 or 100%. Training to board and commission members decreased by 11 or 2%. The overall number of presentations increased by 21 or 49% while total training hours doubled, for an increase of 38.25 hours or 101%. Each hour of training required approximately .75 hours of preparation and/or travel time.

**Classes.** Since 1994, the Board of Ethics has consistently identified education and training for county employees as its first goal and priority. To meet that goal, the administrator conducted weekly, mandatory orientations for new county employees through the Human Resources Management Division (HRMD). The orientations included an overview of the ethics code and an introduction to the ethics board and office. New employees received encouragement to contact the ethics board and office to help them make ethical decisions in the workplace.

The administrator also conducted in-depth, half-day ethics seminars for supervisors through the mandatory HRMD Supervisor Training Program. These courses included a comprehensive review of the code, an introduction to the ethics board and office, a description of a decision-making model, and an interactive group activity in which supervisors discussed, analyzed, and solved ethics-related dilemmas.





## Goal I — Education and Training continued

<b>Question</b>	<b>Response %</b>	<b>Rating</b>
<b>Applicability of knowledge to current job</b>	<b>80%</b>	<b>Very good and above</b>
<b>Quality of course content</b>	<b>82%</b>	<b>Very good and above</b>
<b>Knowledge and ability of instructor</b>	<b>90%</b>	<b>Very good and above</b>
<b>Gained knowledge during course</b>	<b>88%</b>	<b>Minimum of 1 step gain</b>

**Evaluations.** HRMD conducted evaluations following each supervisor seminar. Class participants were asked to rate the applicability of the knowledge and skills gained through the course to their current job, the quality of course content, and knowledge and ability of the instructor. In response to these questions, evaluators could choose from *poor, fair, good, very good, and excellent*. In addition, attendees were asked to rate their knowledge of the ethics materials before and after the class on a scale of 1 to 5. Participants rated the ethics course as shown above.

**Informal Presentations.** The ethics office offered consultation and ethics education to departments by providing sessions tailored to the needs and schedules of the agency employees. These sessions included one-hour presentations during regularly scheduled staff meetings that focused on ethics-related issues specific to, or identified by, the group. Participating departments included Executive Services (Risk Management, Real Estate Section of Facilities Management Division, Office of Emergency Management) and Transportation (Bus Procurement).

**Specialized Training.** Additional training sessions focused on groups with specialized functions. These included procurement staff in the finance division, grant and contract managers throughout the county, department coordinators and board and commission staff liaisons with responsibilities related to the financial disclosure program, human resources personnel, board and commission members, and facilities management real estate specialists.

**Technology.** The ethics administrator continued to develop the ethics Web site and work with Information Technology to improve site form and function. Any employee or citizen with Internet access may visit the site at [www.metrokc.gov/ethics/](http://www.metrokc.gov/ethics/). There they will be able to learn about the Board of Ethics and its mission, goals, identity, history, and activities; the Code of Ethics and its Summary; all advisory opinions issued by the board in their full text; rules and procedures; disclosure program information; guides and forms; ethics publications and news, and the current and historical meeting schedules, agendas, and minutes. The administrator worked with Executive Services staff for ongoing support.

**Publications.** The administrator published and distributed the following publications in 2003:

- *Advisory Opinion Subject Index and Summary Guide*—distributed to supervisors and managers.
- *Summary of the Code of Ethics*—distributed to employees, supervisors, and managers.
- *A King County Guide to Ethical Standards: Doing Business with Contractors, Vendors, Clients, and Customers*—distributed to grant and contract managers, employees, customers, and contractors.
- *2002 Annual Report*—distributed to County Council members, the executive and executive cabinet, department directors and managers, past ethics board members, and local, regional, and national ethics agencies.



## Goal II — Review of the Code of Ethics

**To continue a systematic review of the Code of Ethics and to make appropriate recommendations for consideration by the executive and County Council.**

**Post-Employment.** In July, the King County Council unanimously passed, and the executive signed into law, the board-proposed amendment to the post-employment provisions under the ethics code [K.C.C. 3.04.015(C) and K.C.C. 3.04.035(A) through (I)]. The proposed amendment is intended to be easier to understand and clearer in describing what is and is not allowed after officials and employees leave county employment. In addition, the amendment shifted the prohibited activity from one of organizational location to specific matters in which the employee might exert influence based on his or her previous position with the county. The new provision requires that, for one year after leaving county employment, a former county employee may not work as a contractor or subcontractor on any county action in which the former county employee participated or had responsibilities while a county employee. (“Participate” is a defined term in the ethics code and it includes approval, disapproval, decision, recommendation, rendering of advice, or investigation related to a particular county transaction.) Previously, employees were restricted from returning to work as contractors or subcontractors on any matter for their former department. In addition, former employees are prohibited for one year from having a financial or beneficial interest in a contract or grant that was planned, authorized or funded by a county action in which the former county employee participated during county employment. Former employees may never disclose proprietary information not available to the general public. They may return to work as a county employee at any time or appear before the county on their own behalf to the same extent as other citizens.

**Oaths and Declarations for Statements and Forms.** During the September meeting, the board finalized a proposed amendment to provisions of the ethics code regarding declarations for statements of financial and other interests and for the consultant disclosure form [K.C.C. 3.04.050(F) and K.C.C. 3.04.120(A)(3)]. The

amendment would add language to ensure that the declaration or oath in the statement and form would be legally sufficient for prosecution should an employee or contractor fail to fully disclose required information. In October, the board forwarded the proposed amendment to the Department of Executive Services for transmittal to the executive and, upon approval, to the County Council for review and passage.

**Use of Government Resources.** Also in September the board reviewed the county’s laws and policies regarding use of county resources. Comparing ethics laws for the City of Seattle and State of Washington, the board determined that the restrictions and allowable exceptions were almost identical to the county; all three protect government resources from abuse, while allowing for infrequent and brief personal use for “daily necessities of life,” including, emergency phone calls, coordinating with family members, and making medical and dental appointments. All prohibit use for conducting outside business or private employment, supporting or promoting the interest of or soliciting for an outside organization or political party, assisting a campaign for election or ballot proposition, advocacy, and any illegal activity. Since all three jurisdictions had similar laws, and because the ethics board had previously issued conforming advisory opinions, the board determined it would make no changes to past opinions or suggest any changes to the provisions under the ethics code.

**Gift Laws.** The board reviewed the gift provisions under the ethics code during the October meeting. Executive directors of the Seattle Ethics and Elections Commission and Washington State Executive Ethics Board also attended and took part in the review. Although the board proposed no immediate changes to the county’s ethics code, it proposed to work collaboratively with the city and state jurisdictions to develop consistent laws, possible including a comprehensive gift law.

## Goal III — Advice and Guidance

**To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.**

**Advisory Opinions.** From 1991 through 1999, the board issued 148 advisory opinions; the board issued no advisory opinions in 2003.

**Staff Informational Responses.** During the year, the administrator issued 69 staff informational responses in which she provided a written response to employee inquiries on situations where the code and existing advisory opinions have already been applied to an analogous issue. Issues included, in order of numbers of requests, use of county resources and funds, potential conflict of interest for employees and board and commission members, post-employment restrictions, outside

<b>Year</b>	<b>Ethics Advisory Opinions</b>	<b>Staff Informational Responses</b>
<b>1991</b>	<b>30</b>	<b>*</b>
<b>1992</b>	<b>16</b>	<b>*</b>
<b>1993</b>	<b>26</b>	<b>*</b>
<b>1994</b>	<b>28</b>	<b>12</b>
<b>1995</b>	<b>25</b>	<b>15</b>
<b>1996</b>	<b>10</b>	<b>15</b>
<b>1997</b>	<b>8</b>	<b>42</b>
<b>1998</b>	<b>4</b>	<b>44</b>
<b>1999</b>	<b>1</b>	<b>21</b>
<b>2000</b>	<b>0</b>	<b>70</b>
<b>2001</b>	<b>0</b>	<b>77</b>
<b>2002</b>	<b>0</b>	<b>87</b>
<b>2003</b>	<b>0</b>	<b>69</b>
<b>TOTAL</b>	<b>148</b>	<b>452</b>

\* Not issued prior to 1994

### **2003 Responses and Inquiries**

<b>Ethics Advisory Opinions</b>	<b>0</b>
<b>Staff-Written Informational Responses</b>	<b>69</b>
<b>Ethics-Related Telephone Inquiries</b>	<b>297</b>

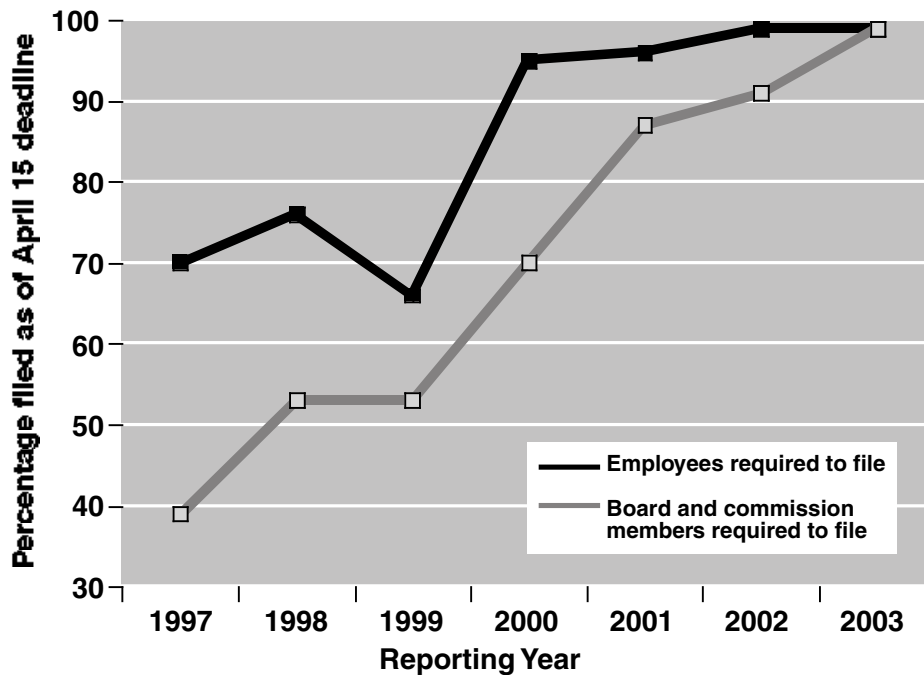
employment restrictions, solicitation by employees of other county employees or businesses located in the county, acceptance of gifts or things of value, and providing referrals or testimonials. Because the existing advisory opinions already provide guidance on ethical situations commonly faced by county employees, satisfactory responses to inquiries frequently do not require a new opinion. However, recipients of staff informational responses always have the option of requesting a formal advisory opinion from the board.

**Telephone inquiries.** Phone consultations help solve ethics-related questions by providing employees and supervisors with the information they need to make common sense decisions. In addition to reviewing the situation and providing clarifying information, the administrator encouraged employees to talk the matter over with their supervisors to resolve the issue within the context of departmental policy. During the year, the administrator responded to over 560 telephone calls; this figure does not reflect outgoing calls or e-mail messages placed by the administrator. Categories of inquiry included, among others, 105 ethics-related questions from employees, 28 ethics-related questions referred to other agencies, 36 public inquiries, 41 questions on employee financial disclosure, 26 questions on the board and commission requirement for financial disclosure, and 61 inquiries on the requirement for consultant disclosure.

## Goal IV — Disclosure Programs

**To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.**

### Disclosure Statement Filing Compliance on April 15th Deadline 1997–2003



The number of employees filing financial disclosure statements rose from 1,397 in 1997 to 2,119 in 2003.  
The number of consultants filing consultant disclosure forms increased from 33 to 343 during the same period.

**Employees and Elected Officials.** As of the April 15th deadline, 2,119 affected employees and elected officials achieved 99% compliance with the financial disclosure program. By May 12, 2003, 100% had filed completed statements. The administrator provided notices and regular reporting to the county executive, County Council, the ombudsman, and department directors as required by the King County Board of Ethics Rules Related to Filing Statements of Financial and Other Interests. Department coordinators received orientations and weekly communications on employee filing status.

**Board and Commission Members.** As of the April 15th deadline, the financial disclosure program realized a 99% compliance rate for 448 board and commission members. On May 12, 2003, the compliance rate remained at 99%. Staff liaisons received orientations and weekly communications on member filing status.

**Consultant Disclosure.** Each consultant entering into a contract to provide professional or technical services to the county costing over \$2,500 must file a sworn, written statement disclosing information related to potential conflict of interest. The ethics office received 343 consultant disclosure statements in 2003.

## Goal V — Collaboration with Other Ethics Agencies

**To collaborate with other ethics agencies both public and private within the State of Washington and the United States and Canada for the purposes of information exchange and to consider program improvements for the King County ethics program.**

Under the direction of the ethics board, the administrator has developed collaborative relationships locally and nationally through involvement with private and public ethics agencies and organizations.

The ethics board and administrator have been active in the Council on Governmental Ethics Laws since 1993, and the administrator currently serves on its publications committee and committee to develop a model ethics law.

She is also a member of the local Northwest Ethics Network, whose membership includes, among others, ethics officers from Starbucks, Boeing, Weyerhaeuser, Sun Microsystems, Microsoft, Washington State Executive Ethics Commission, and Seattle Ethics and Elections Commission, and she serves as a member of the Albers Business Ethics Initiative Advisory Council for Seattle University.

